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1c853 U.S. PTO

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Assistant Commissioner for Patents
Washington, D.C. 20231

Attorney's Docket No. SCHW-410
[99/806]

First Named Inventor Douglas Corning

1c780 U.S. PTO

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UTILITY PATENT APPLICATION TRANSMITTAL
(under 37 CFR 1.53(b))

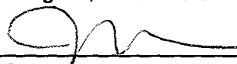
SIR:

Transmitted herewith for filing is the patent application entitled:
METHOD AND SYSTEM FOR BUILDING AND MAINTENANCE WATCH LISTS

CERTIFICATION UNDER 37 CFR § 1.10

I hereby certify that this New Application and the documents referred to as enclosed herein are being deposited with the United States Postal Service on this date June 9, 2000, in an envelope bearing "Express Mail Post Office To Addressee" Mailing Label Number EL254110490US addressed to: Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

JOAN MAZZEO
(Name of person mailing paper)


(Signature)

Enclosed are:

1. ☒ Transmittal Form (two copies required)
2. The papers required for filing date under CFR § 1.53(b):
 - i. 31 Pages of specification (including claims and abstract);
 - ii. 7 Sheets of drawings.
☒ formal ☐ informal
3. Declaration or oath
 - a. ☒ Newly executed (original or copy)
4. ☐ Microfiche Computer Program (Appendix, see 37 CFR 1.96)
5. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - i. ☐ Computer Readable Copy
 - ii. ☐ Paper Copy (identical to computer copy)
 - iii. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

6. ☐ An assignment of the invention to is attached (including Form PTO-1595).
 - i. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)
7. ☐ Power of Attorney
8. ☐ An Information Disclosure Statement (IDS) is enclosed, including a PTO-1449 and copies of ☐ references.
9. ☐ Preliminary Amendment.
10. ☒ Return Receipt Postcard (MPEP 503 -- should be specifically itemized)
11. ☐ Other

12. PROVISIONAL APPLICATION PRIORITY

☒ Priority of application no. 60/190,739 filed on March 20, 2000 is claimed under 35 USC 119.

☐ English Translation Document (if applicable)

13. FEE CALCULATION

a. ☐ Amendment changing number of claims or deleting multiple dependencies is enclosed.

CLAIMS AS FILED

| | Number Filed | Number Extra | Rate | Basic Fee (\$690) |
|--|--------------|--------------|-----------|-------------------|
| Total Claims | 37 - 20 | * 17 | x \$18.00 | \$306.00 |
| Independent Claims | 4 - 3 | * 1 | x \$78.00 | \$78.00 |
| <input type="checkbox"/> Multiple dependent claim(s), if any | | | \$260.00 | |

*If less than zero, enter "0".

Filing Fee Calculation \$1,074.00

50% Filing Fee Reduction (if applicable) \$

14. Small Entity Status

- a. ☐ A small entity statement is enclosed.
b. ☐ A small entity statement was filed in the prior nonprovisional application and such status is still proper and desired.
c. ☐ is no longer claimed.

15. Other Fees

☒ Recording Assignment [\$40.00] \$40.00
☐ Other fees \$
Specify _____

Total Fees Enclosed \$1114.00

16. Payment of Fees

☒ Two (2) checks totaling the amount of \$1,114.00 are enclosed; one in the amount of \$1,074 to cover the basic filing fee and additional claims; and the other in the amount of \$40 for recordation of the Assignment document.
☐ Charge Account No. 12-1420 in the amount of \$____.
A duplicate of this transmittal is attached.

17. All correspondence regarding this application should be forwarded to the undersigned attorney:

Gerald T. Sekimura
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18. Authorization to Charge Additional Fees

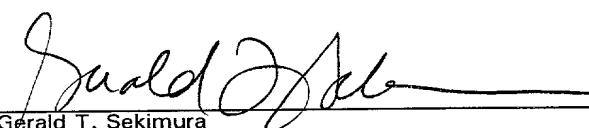
☒ The Commissioner is hereby authorized to charge any additional fees (or credit any overpayment) associated with this communication and which may be required under 37 CFR § 1.16 or § 1.17 to Account No. 12-1420. A duplicate of this transmittal is attached.

LIMBACH & LIMBACH L.L.P.

June 9, 2000
(Date)

Attorney Docket No. SCHW-410

By:


Gerald T. Sekimura
Registration No. 30,103
Attorney(s) or Agent(s) of Record

PATENT

METHOD AND SYSTEM FOR BUILDING
AND MAINTENANCE WATCH LISTS

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PRIORITY CLAIM UNDER 35 USC §119

This application claims the benefit of U.S. Provisional Application
No. 60/190,739 filed March 20, 2000 under 37 USC §119.

TECHNICAL FIELD

15

The present invention is directed to data organization in personal
hand held organizers, and more particularly to a method and apparatus
which maintains and organizes lists of and information about securities
being monitored by a user in a personal hand held organizer operating
over a wireless link.

20

BACKGROUND OF THE INVENTION

In the past, watch lists management has been focussed on
maintaining a variety of different watch lists. The items in each watch
list were maintained and changed independently of the other watch lists.

25

These systems are sometimes referred to as a "bucket" system where
multiple "buckets" of data are maintained, each bucket being maintained
independently of the others.

30

Examples of these "bucket" systems can be found, for example,
at the URL investing.schwab.com of Charles Schwab & Co., Inc., the
assignee of the subject application, in the Charles Schwab Customer
Center Watch List service, found in Quotes & Research; or in the Morgan

Stanley Dean Witter wireless product called "Traderunner" in which lists of securities being monitored are maintained in buckets.

Bucket type systems lead to large numbers of items in the watch lists, with little coordination among the watch lists. This is particularly
5 troublesome in the wireless world where it is important to limit the amount of information being transmitted.

In the Palm Pilot personal organizer, manufactured by 3COM Corporation of Santa Clara, California, applications are listed in a master list. When a user selects an application from the master list, the
10 application is launched.

SUMMARY OF THE INVENTION

In the present invention, instead of separate independent watch lists, a pool of items being watched is maintained. In one embodiment of the present invention, the total number of items, which can be
15 contained in the pool, is intentionally limited to a predefined number. Each of the items in the pool includes an associated tag, which defines a watch list to which it belongs. The pool of the items being watched can be viewed simultaneously as one coherent collection, or specific watch lists can be displayed. When a specific watch list is being displayed, the
20 items that are displayed are those which are assigned to that watch list as indicated by their associated tag. When the pool of items is being viewed in one embodiment of the present invention, the user is provided with a visual indication of the total number of items in the pool and the maximum number of items allowed in the pool of items.

25 In the preferred embodiment of the invention, the items being watched are stocks or securities. Each stock being watched is assigned to a watch list or lists. For purposes of the predefined limit on the number of items in the pool, when a stock is assigned to more than one watch list, each assignment is treated as a separate item which counts
30 toward the predefined limit. Thus, a stock assigned to two different

watch lists is considered to be two separate items in the pool of items being watched.

The above architecture provides a more compact and efficient organization for monitoring the status of the pool of items, permits the contents of specific watch list categories to be changed from one central location, yet provides the flexibility of viewing subsets of the pool in different combinations according to the criteria provided by the user. This is particularly important with modern portable devices, such as personal organizers, which have limited storage capacities as well as limited communication bandwidths.

The subject invention will be more readily understood upon consideration of the following detailed description and accompanying drawings.

15 **BRIEF DESCRIPTION OF THE DRAWINGS**

Figure 1 is a simplified conceptual block diagram illustrating an example of the environment within which the subject invention is operable.

Figure 2 illustrates the organizational structure of the pool of items being monitored, the watch lists which can be assembled from the pool, and the relationship between them.

Figure 3 is a simplified flow diagram which illustrates the operational flow of one embodiment of the present invention as implemented in a Palm Pilot hand held personal organizer.

25 Figure 4 simplified diagram which illustrates the screen and functional layout of one embodiment of the present invention as implemented in a Palm Pilot hand held personal organizer, where an example is shown of a pool of items which is being monitored.

Figure 5 in an example of the relationship between the primary drop down and secondary drop down menus, and the navigation

between the watch list manager and specific watch lists of the embodiment of the present invention as implemented in a Palm Pilot hand held personal organizer.

Figure 6 is an illustrative example of operations assigned to various buttons in the embodiment of the present invention as implemented in a Palm Pilot hand held personal organizer.

Figure 7 is an illustrative example of the navigational flow associated with the "New" button when operated in the Watch List Manager level of the embodiment of the present invention as implemented in a Palm Pilot hand held personal organizer.

Figure 8 is an illustrative example of the navigational flow associated with the "Edit" button when operated, when a stock is not highlighted, in the Watch List Manager level of the embodiment of the present invention as implemented in a Palm Pilot hand held personal organizer.

Figure 9 is an illustrative example of the navigational flow associated with the "Edit" button when operated, when a stock is highlighted, in the Watch List Manager level of the embodiment of the present invention as implemented in a Palm Pilot hand held personal organizer.

Figure 10 is an illustrative example of information displayed and navigational flow, when a stock is highlighted or a stock is highlighted, in the Watch List level of the embodiment of the present invention as implemented in a Palm Pilot hand held personal organizer.

25

DETAILED DESCRIPTION OF THE INVENTION

Referring to Figure 1, one embodiment of the present invention is operable in a personal organizer 10, which communicates via a wireless link 12 with central communications center 14. The central communications center 14 can be self-contained so that it incorporates a

central communications link 16, brokerage services 18, and exchanges 20, or can be formed through links as shown in the figure. Located at the central communications center 14, for example, at the brokerage service 18, is a central server 19, which holds information about the
5 items in the pool of items being monitored. The information in the central server 19 can be gathered from the exchanges 20, the brokerage service 18, the personal communications device 10, or from other sources. The central server 19 exchanges information with the personal communications device 10 in order to maintain the pool of items and to
10 populate the watch lists.

Figure 2 illustrates the relationship between the pool of items being maintained in the personal organizer 10 in accordance with the present invention and the associated watch lists. The pool of items being monitored is maintained in a master list 22. The master list 22 is
15 intentionally limited in the number of items it can hold; in the illustrated example, the limit is 100 items. In the example of Figure 2, each item in the master list 22 includes the name of the security being tracked, and a watch list tag, which indicates to which watch list or lists the item is assigned. For example, the 10th item in master list 22 corresponds to
20 security S9 and is assigned to watch list L5; and the 68th item corresponds to security 36 which is assigned to watch list L1. Note that the same security can be assigned to several different watch lists, e.g. security S7 is assigned to watch lists L1 and L15. It is also to be noted that security S7 assigned to watch list L1 is considered as a separate
25 and distinct item from security S7 assigned to watch list L15.

Figure 2 also illustrates example watch lists L1, L11, L15 and L28. Note that a watch list can contain as little as one item, or can contain many items.

It is to be understood that the master list 22 and the specific
30 watch lists shown in Figure 2 are merely illustrative. For example, it is not necessary within the spirit of the present invention to assign an item

number to each item being watch, as long as the total number of items in the list is limited to a predetermined number. Nor is it necessary to organize the list in ascending alphanumeric order as is shown in Figure 2.

5 In order to better understand the present invention, a more detailed description of one embodiment of the present invention will now be provided in the context of a Palm Pilot personal organizer, manufactured by 3COM corporation of Santa Clara, California. It is to be understood that the present invention is suitable for use in other
10 personal organizers or portable devices, and is not limited to the Palm Pilot device.

 Figure 3 provides an operational flow diagram of the invention as it can be embodied in the Palm Pilot device. In this embodiment, the user works with the watch list data at two levels: the Watch List
15 Manager Level 24 or at the Watch List Level 26. In the Watch List Manager Level 24, the user is able to manage watch lists by adding, editing, and deleting watch lists. He will also manage the creation of new entries to lists here and the deletion of them. At the Watch List Level 26 the user will be able to view information about the items in the
20 watch list which is selected for viewing.

WATCH LIST MANAGER LEVEL 24:

 At the Watch List Manager Level 24 communication is had with the central communications center 14 through the Send 28 and Request 30 operations. In the embodiment of the present invention described
25 hereinafter, the preferred mechanism for communicating between the personal communications device 10 and the central communications center 14, is a wireless modem (not shown). It is through the Send operation 28 that the central server 19 is informed of changes made by the user to the items within the master list 22, including deletions and
30 additions to the master list 22, and edits to the items in the master list 22. The Request operation 30 is used to retrieve up-to-date

information from the central communications center 14 about the items in the master list 22.

At the Watch List Level 26 the user uses the Request operation 30 to communicate with the central communications center 14 to retrieve up-to-date for the items in the Watch List being viewed. If, while in the Watch List Level 26 the user wishes to add, delete or edit watch lists or items in a watch list, menu selections or buttons are provided which navigate the user back to the Watch List Manager Level 24.

Referring now to Figure 4, the screen 25 and functional layout of one embodiment of the present invention as implemented in a Palm Pilot hand held personal organizer is shown. Figure 5 illustrates an example of the primary drop down and secondary drop down menus used in the Palm Pilot embodiment of Figure 4 through which navigation between the Watch List Manager Level 24 and Watch List Level 26 is accomplished. It is to be understood that in the embodiment being described, the invention is implemented as one feature -- the Watch List feature -- among several features in an application designed for use on a Palm Pilot device. The user selects the Watch List feature from among the other features by using the Primary Drop Down menu 32.

In Figure 4, the primary drop down menu 32 is shown at the top center of the screen layout and has an inverted arrow head which indicates, according to the Palm Pilot protocol, the presence of a drop down menu. As can be seen from Figure 5, the items within primary drop down menu 32 includes the Watch List feature as a selection. In Figure 4, the screen of information being displayed corresponds to the Watch List Manager Level 24, and functional block 24A of Figure 3.

Figure 5 also illustrates the secondary drop down menu 34 which lists the available functions once the Watch List feature is selected from the primary drop down menu 32. It is to be noted that the Manager function is listed at the bottom of the secondary drop down menu 34,

below the list of specific watch lists which can be accessed. By selecting the Manager function from Secondary Drop Down Menu 34, the user will be navigated to the screen shown in Figure 4.

In Figure 4, the secondary drop down menu 34 is shown in the upper right hand corner of the screen layout. The abbreviation "Mngr" is shown in the secondary drop down menu 34 location, thereby indicating that the device is in the Watch List Manager Level 24. Thus, within the body of the screen 25, seven of the items in the master watch list 22 are being displayed. For example, stock symbol ADBE is shown to be included in the two watch lists called "hitek" the watch list. It is to be noted, in the preferred embodiment, duplication of watch list items is permitted. It has been found that such permitted duplication makes reorganization and editing of the lists easier.

The inverted arrowhead next to each listed watch list indicates that a Watch List pull down menu of other watch list selections can be invoked. When the Watch List pull down is invoked for a particular entry (item being monitored), the Watch List associated with the entry can be changed. When this is done, that entry will be associated with the newly-selected Watch List and removed from the prior Watch List. For example, the item (entry) CYGN is associated with the Watch List "Medical." The user can invoke the Watch List pull down menu by tapping on the inverted arrowhead which precedes the word "Medical." The user can then select, for example, "Hitek," and thereby cause CYGN to be removed from the "Medical" watch list, and to be added to the "Hitek" watch list. This operation corresponds to functional block 52 in Figure 3.

The columns shown in screen 25 are sortable. A header shown in bold indicates that the corresponding column is sorted. The column is by tapping on the header title. The default is ascending alphabetical on first tap. Subsequent taps reverse the sort order if an item is already selected.

In the embodiment of Figures 3 and 4, The user is allowed to have 100 stock or index entries and can manage them in any combination of lists, with the only rule being that there can be no more than 100 Watch Lists. If an entry appears twice, it is counted as two
5 entries. The time stamp region 36 of the screen 25 informs the user of how many entries are in the list and that there are up to 100 allowed. It has been found that the use of the time stamp region 36 in this manner, to inform the user of the maximum number of items allowed, and the current (or running) total of items in the watch list, is an efficient, simple
10 and effective method for instructing the user in the use and the organizational methodology of the present invention.

When the device is in the Watch List Level 26, the time stamp region 36 indicates the time the data was retrieved. The time stamp region 26 also has a dynamic indicator of how many minutes old the
15 data is (i.e. if the user enters a screen when the data is 15 minutes old, then sits for two minutes, the screen shows that the data is 17minutes old). The time and time zone are that of the data source. The time zone is included and is displayed as EST or EDT as appropriate.

Referring now to Figures 4 and 6, there are several icons and
20 buttons below the time stamp region 36: "Request" icon 30, "New" button 38, "Edit" button 40, "Send" button 28, "Trade" icon 42, and "Quick Access" icon 44. Tapping the "Request" icon 30 causes the Palm Pilot Device to establish a link with the central communications center 14 in order to refresh the data for the items in the Watch List.

25 Tapping the "New" button 38 when no entry (item being monitored) is selected invokes the process 38 shown in Figure 3, and described in more detail herein, through which a new watch list or new entry can be made. When the "New" button 38 is tapped, the dialog screen "New Watch List Information" 39 appears, through which the
30 user can select between creating a new entry or a new watch list. See Figure 6.

Tapping on the "Edit" button 40 invokes the process 40 shown in Figures 3 and 6, and described in more detail herein, through which an existing watch lists or entries can be edited. When the "Edit" button is tapped, the dialog screen "Edit Watch List" 41 appears through which
5 the user can select between renaming or deleting a watch list. See Figure 6.

The "Send" button 28 is presented to the user when a change has been made to the watch lists or entries. When the "Send" button 28 is tapped, the Palm Pilot Device establishes a link with the central
10 communications center 14 and passes along the changes to the central server 19. In this manner, both the remote Palm Pilot Device and the central server 19 will have the master list 22 and the identification of the watch lists assigned to each of the items in the master list 22.

If the user selects a particular entry, and then taps the trade icon
15 42, he will be brought to a Trade screen with the symbol filled in. The Trade feature is one of the other features in the application of which the Watch List features is a part.

The Quick Access icon 44 allows a user to invoke a pull down menu in which are listed five most frequently used screens, as defined
20 by the user, and gives immediate navigation to them. See Figure 6.

Also shown in Figures 5 and 6, below the row of icons and buttons, are the Palm Pilot Device Applications button, Menu button 46, and text and number entry screen. Tapping on the Menu button 46 invokes Options and Edit menus, to be described hereinafter, which are
25 implemented in the Watch List Manager Level 24, Figure 3. In the Options menu the "Edit Entry" selection will not be present unless the user has selected an entry on the screen 25.

The operations invoked by tapping the above icons or buttons will now be described in greater detail with reference to Figures 3 and 7 to
30 9.

Send 28:

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-11-

the user to the location he has requested. Cancel will do nothing but bring the user back to the Watch List Manager Level 24 screen, and the user's changes will be preserved but not sent.

- 5 If the connection fails to send the watch list changes, the user gets the error message "Send Watch List Error":

Send Watch List Error:

Title: Cannot Send Watch Lists

- 10 Icon Indicator: Fail

Message: We were unable to send information about your watch lists to the server at this time. Would you like to revert to your last sent list or hold changes until they can be sent at a later time? Holding changes will disable watch lists until the changes can be sent.

- 15

Button: Revert / Hold

- If the user initiated the dialog via the Send command 28, reverting will bring the user back to the previously sent version of the Watch List Manager Level 24. Holding will bring the user to back to the Watch List Manager Level 24 screen with no changes made. The user's changes will be preserved but not sent, but if the user tries to leave, he will be presented with a Send dialog.

- 20 If the user got to the "Cannot Send Watch Lists" dialog through the "Send Before Leave? (5519)" dialog, reverting will bring the user to the newly requested location, and changes to the watch list information will not be retained, but watch lists will work.

- Holding will bring the user to the newly requested screen. The user's changes will be preserved but not sent. Holding will disable watch lists, so if the user goes to a watch list, he will get a "Send from Holding" dialog that will inform him he needs to send watch list changes

- 30

before the watch lists will work. "No" will keep the user in the current watch list, with no information available. "Yes" will bring the user to the Watch List Manager, and will execute a send command automatically.

5 Send from Holding Dialog:

Title: Cannot Use Watch Lists

Icon Indicator: Fail

Message: You are holding changes in your Watch List Manager.

10 In order to use any of your watch lists, you will need to
send these changes. Would you like to go to your Watch
List Manager and do so now?

Button: Yes / No

Request 30:

15 The Request button 30 loads watch list information into the Palm
Pilot Device off of the central server 19 located at the central
communications center 14. If a user has made changes at the Watch
List Manager Level 24, and taps the refresh button 30, he will get the
dialog "Request Before Send Error" indicating that the refresh will cause
20 a data loss.

Request Before Send Error Dialog:

Title: Request Watch List Information?

Icon Indicator: Warning

25 Message: Are you sure you want to request watch list information
from the server before sending? Doing so will cause
your changes to be lost.

Button: Request / Cancel

In order to prevent the data loss, the user would press "Cancel" and then tap the "Send" button 28. Hitting "Request" will result in a loss of the changes made by the user.

- 5 If the connection fails during a request, the user will get the error dialog "Request Watch List Error." The user will see a screen indicating "Watch List Manager (No Information)."

Request Watch List Error:

Title: Cannot Retrieve Watch Lists

- 10 Icon Indicator: Fail

Message: We were unable to retrieve information about your
Watch Lists at this time.

Button: OK

- 15 New 38:

- Tapping the "New" button 38 will bring up the "New Watch List Information" dialog 39, Figure 7 that asks the user to choose whether he would like a new entry or new Watch List. The dialog shows by default in the drop down the item the user last selected. If it is the first
20 time, "Entry" will be selected as the drop down choice. In this way, if a user is trying to rapidly enter a number of entries, this choice will add only one more tap.

- The New button 38 is always present during the Watch List Manager Level 24 and the Watch List Level 26. If there are no watch
25 lists, the only choice will be to add a new watch list. This means that one can never add an entry as "not selected" (i.e., without assigning it to a watch list) with the intent of adding it to a list later.

New Watch List 48:

- If, in response to the "New Watch List Information" dialog 39 the
30 user selects "Watch List," the "New Watch List" dialog box 48 will appear. See Figure 7. Watch List names will consist of 1 to 10 letters

and numbers. Other characters will not be allowed, nor will spaces. If the user doesn't meet this criterion, he will get the error message "Watch List Name Error."

5 Watch List Name Error:

Title: Watch List Name Error

Icon Indicator: Warning

Message: Your watch list name can be 1 to 10 letters or numbers
and cannot have a space.

10 Button: OK

If a user taps add and no information is filled in, he will get the error dialog "Watch List Incomplete Information."

15 Watch List Incomplete Information:

Title: Incomplete Information

Icon Indicator: Warning

Message: You must fill in a name for your watch list.

Button: OK

20

If the user attempts to add a name that already exists, he will get the error dialog "New Watch List: Same Name (5518)." If the user taps OK, he is brought back to the "New Watch List" dialog with the old data still present for editing.

25

New Watch List: Same Name (5518):

Title: Name Already Exists

Icon Indicator: Fail

Message: You already have a Watch List named [name

30 attempted.] Please enter a different name for this Watch
List.

Button: OK

If the user reaches 100 watch lists, he will get the error dialog
"Too Many Watch Lists (5502)" when he taps the OK button in the "New
5 Watch List Information" dialog 39. Tapping OK will bring him back to the
Watch List Manager Level 24 screen.

Too Many Watch Lists (5502):

Title: Too Many Watch Lists

10 Icon Indicator: Warning

Message: You can only have 100 watch lists. You may not add
another watch list until another watch list has been
deleted.

Button: OK

15

If the user successfully adds a new list, he will get the
confirmation dialog "Add Watch List Confirmation." When the user taps
"OK," he will be brought to the Watch List Manager Level 24 screen.

20 Add Watch List Confirmation:

Title: Watch List Added

Icon Indicator: Info

Message: [Watch List name] has been successfully added.

Button: OK

25

New Entry 50:

If, in response to the "New Watch List Information" dialog 39, the
user selects "Entry," the "New Entry" dialog 50 is displayed. If the user
successfully adds the entry to the watch list, he will return to the Watch
30 List Manager Level 24 screen with the new entry added, and the list
scrolled to reveal it. The defaults for the New Entry dialog 50 fields will

be: A blank in Symbol. The drop down will consist of all watch lists that the user has. The default the first time will be the first alphabetical watch list. After the first time, the drop down will stay on the last list selected by the user.

5 If the user enters an unknown symbol, such unknown symbols will appear in a watch list, but the watch list will have "Unknown" in the price list, and the user can later delete the entry. The use of "Unknown" as a price will not be limited to entries that are misspelled. A valid stock could become decommissioned during mergers or bankruptcy.

10 If a user taps "add" in the "New Entry" dialog 50 and no information is filled in, he will get the error dialog "Watch List Entry Incomplete Information."

Watch List Entry Incomplete Information:

15 Title: Incomplete Information
 Icon Indicator: Warning
 Message: You must fill in a symbol.
 Button: OK

20 The Palm Pilot device will perform local validation to see if a user has a valid form for a symbol. A valid stock symbol is 1–5 alpha characters. A valid index symbol is a period followed by 1–4 alpha characters. If the symbol field does not meet this description, the user will get the dialog "Invalid Symbol." OK will return the user to the New
25 Entry dialog.

Invalid Symbol:

 Title: Invalid Symbol
 Icon Indicator: Fail
30 Message: This is not a valid symbol. Please re-enter.
 Button: OK

If the entry already exists in the watch list, the user will get no error. The user will be able to list multiple occurrences of the same symbol in a single watch list. Each occurrence will count against the 100-entry limit. If there are already 100 symbols in the watch list manager, the user will be shown the dialog "Too Many Entries (5505)" when he chooses the OK button in the "New Watch List Information" dialog.

When the user taps OK, he will be brought back to the Watch List Manager Level 24 screen.

10

Too Many Entries (5505):

Title: Too Many Entries

Icon Indicator: Fail

15 Message: You have reached the maximum number of entries
(100) allowed in your watch list manager. In order to
add a symbol, you will have to delete another from the
list.

Button: OK

20 Edit 40:

Referring now to Figures 8 and 9, in this embodiment of the present invention, the Edit button 40 is always present. If the user is on an entry (stock), it will bring him to the dialog: "Edit Watch List Entry" 52. Otherwise, it will bring the user to a dialog that will prompt him to either rename or delete a watch list: "Edit Watch List" 54. The user will have to select which watch list to edit as there will be no way to select one directly.

25 Edit Watch List 54:

The defaults for the Edit Watch List dialog 54 fields are: The
30 watch list drop down will be the last selected by the user. If it is the first

time, it will be the first alphabetical list. The default for the radio button will be the delete option 56, and the rename field 58 will be empty.

If the user chooses to rename the watch list and succeeds, he will get the "Edit Watch List Confirmation" dialog.

5

Edit Watch List Confirmation:

Title: Watch List Renamed

Icon Indicator: Info

10 Message: Watch List "[Old watch list name]" has been
successfully renamed to watch list "[new watch list
name.]"

Button: OK

15 If the user taps "OK, " he will return to the Watch List Manager
Level 24 with changes made. If he fails, the same error conditions and
dialogs will appear as in creating a new watch list.

If the user chooses to delete the watch list and taps Make
Change, he will be brought to the dialog "Delete Watch List" 60. In
either case, if the user taps Cancel, he will return to the Watch List
20 Manager Level 24 with no changes made.

If the user enters a new name which already exists, he will get
the error message, just as in the creation of a new watch list discussed
above, "New Watch List: Same Name (5518)."

Edit Entry 52:

25 Referring now to Figure 9, the dialogs for editing watch list
entries will now be discussed. The defaults for the Edit Watch List Entry
dialog 52 fields are: The default for the radio button will be the delete
option 62. The watch list drop down will be the last selected by the
user. If it is the first time, it will be the first alphabetical list. The
30 rename field 64 will be pre-filled with the entry that was selected.

Delete Watch List or Entry:

A user will come to delete either a watch list or an entry from their respective edit dialogs. There are no menus for the delete dialogs.

- 5 If in the "Edit Watch List" dialog 54, the user chooses to delete the watch list, he will be brought to the "Delete Watch List" dialog 60, Figure 8, and asked to confirm the deletion. If in the "Edit Entry" dialog 52, the user chooses to delete the entry, he will be brought to the "Delete Watch List Entry" dialog 66, Figure 9, and asked to confirm the
- 10 deletion.

Delete Watch List:

- If the user selects Delete in the "Delete Watch List" dialog 60, and it successfully occurs, the user will get the confirmation "Delete Watch List Confirmation." Tapping OK will bring the user in this dialog to
- 15 the Watch List Manager Level 24 with the watch list, and its stocks deleted. If the user chooses to Cancel from the "Delete Watch List" dialog 60, he will be brought back to the Watch List Manager Level 24 without any changes having been made.

20 Delete Watch List Confirmation:

Title: Watch List and Entries Deleted

Icon Indicator: Info

- Message: The watch list "[watch list name]" and all of its entries
- 25 have been successfully deleted from your set of watch lists.

Button: OK

Delete Entry:

- If the user chooses to delete an entry in the "Edit Watch List
- 30 Entry" dialog 52, he will get the "Delete Watch List Entry" dialog 66, Figure 9. If the entry appears in more than one list, a checkbox 68 will

be available that will allow the user to delete the entry symbol from all lists in which it occurs. The default is off. (It is to be noted that the example illustrated in Figure 9, the entry "ADBE" appears in more than one list.) If the user taps Cancel, he will be brought back to the Watch List Manager Level 24 with no changes made.

If the deletion happens successfully, the user will see the dialog "Delete Entry from Watch List Confirmation." If the user taps OK, he will be brought back to the Watch List Manager Level 24 with the changes made.

Delete Entry from Watch List Confirmation - Entry Removed from One List:

Title: Watch List Entry Deleted

Icon Indicator: Info

Message: [Entry] has been removed from the Watch List "[Watch List name]."

Button: OK

Delete Entry from Watch List Confirmation - Entry Removed from All Lists:

Title: Watch List Entry Deleted

Icon Indicator: Info

Message: [Entry] has been removed from all Watch Lists.

Button: OK

WATCH LIST LEVEL 26:

As discussed in connection with Figure 4 and 5, the user can navigate between the Watch List Manager Level 24 and specific watch lists in the Watch List Level 26 through secondary drop down menu 34.

If a user selects to see a watch list from the secondary drop down menu 34, he will be shown the screens 70 or 72 in Figure 10, for example.

Screen 70 shows the information provided for the "hitek" watch list when an index, e.g. ".DJI" is selected. When an index is in a watch list and is selected, the bid and ask fields will be omitted. If volume information is not available, that field will have "n/a" entered.

- 5 Screen 72 shows the information provided for the "hitek" watch list when an individual stock, e.g. "AAPL" is selected. Because there is no explicit support for decimal alignment on the Palm Pilot device, and in order to conserve space, the values for Bid, Ask, Volume, High, Low, and % Move are positioned as shown in screens 70 and 72, aligned right after the field label. This is also because the longest labels happen to
- 10 need the least value space.

Sorting:

- When the user is in the Watch List Level 26, as illustrated in Figure 10, tapping on the Symbol column header will sort the list by
- 15 symbol. Tapping on the Last Trd (last trade) will sort by that column. These two will be bolded when each is the sort column. The change and volume radio box serve both to select what data appears in the last column as well as to indicate and execute the sort. The sort upon entry will be the state in which the user last left the watch list. If it is the first
- 20 entry, the default will be sorted by Symbol. The first time the user taps either of the Chng or Vol boxes, it will go to descending numerical order. If the item is highlighted and is tapped again, the sort order will reverse.

Palm Pilot Menu:

- Also shown in Figure 10 are the navigational paths through which
- 25 the user can add, edit or delete entries in the watch list. As shown, the Palm Pilot device menu 46 provides the New Entry and Edit Entry and Delete Entry functions for the user. In contrast with the Watch List Manager Level 24, the New, Edit buttons have been removed from the screen in the Watch List Level 26 in order to conserve screen space.

- 30 The New Entry menu item will bring the user to the dialog "New Entry" 50, Figures 3 and 7. The user will be navigated to Watch List

Manager Level 24, and all error conditions defined in the Watch List Manager Level 24 will apply.

5 The Edit Entry menu item will bring the user to the dialog "Edit Entry" 52, Figures 3 and 9, based on the selected entry. The user will be navigated to Watch List Manager Level 24, and all error conditions defined in the Watch List Manager Level 24 will apply. The Delete Entry menu item will bring the user to the dialog "Delete Entry" 66, Figures 3 and 9, based on the selected entry. The user will be navigated to Watch List Manager Level 24, and all error conditions defined in the Watch List Manager Level 24 will apply.

Request:

The Request button 30 will update the entry information. It is always active.

News:

15 The News button 74 will appear when there is market moving news headlines for the selected stock. If the user selects news, he will effectively execute a search for market moving news on the company selected and will be brought directly to the headlines result screen for company news. If a stock does not have market-moving news, and it is selected, the News button will disappear. If the user jumps to headlines from this screen, a "Watch" button will appear that will allow the user to return to the watch list he left in order to see the news. This button will only appear from a direct jump to the headlines from the watch list news button. If the user navigates to any other primary and/or secondary, and then returns, the context-sensitive "Watch" button goes away. Also, if the user executes a new headline search, upon refresh, the button will go away.

Details:

30 A user will be able to get details on a stock symbol. The Details button 76 will bring up the Quote Details dialog, for both stock and indices, a feature associated with another function available from the

primary drop down menu 32 in the application of which the present invention is a feature. Here, however, if the user closes the Quote Details dialog via the "Back to Watch," he will return to the Watch List screen.

- 5 The features and operations described herein are implemented in a conventional manner, and in conformance with the software development and application interface standards and user interface standards for the Palm Pilot device. While the content, and thereby the organizational features described above are novel, they are implemented
- 10 using standard Palm Pilot programming techniques.

- The terms expressions which have been employed herein are used as terms of description and not of limitation, and there is no intention in the use of such terms and expressions of excluding equivalents of the features shown and described, or portions thereof, it
- 15 being recognized that various modifications are possible within the scope of the invention claimed.

CLAIMS

What is claimed is:

5

1. A method for organizing a plurality of items which are being tracked in a computing device of the type which is capable of exchanging information with a communications center, comprising the steps of

10

maintaining a data list which includes all of the plurality of items being tracked;

including in the data list a category tag for each of the plurality of items being tracked; and

15

displaying in a sublist associated with a designated category tag all of those items in the data list which have the designated category tag.

20

2. The method of claim 1 further including the step of limiting the number of items being tracked to a predetermined number.

3. The method of claim 1, wherein securities are included among the plurality of items being tracked.

25

4. The method of claim 1, wherein the computing device is a personal organizer device.

5. The method of claim 4, wherein the personal organizer device is a hand held device.

6. The method of claim 1, further including the step of displaying a running total of the number of items in the data list.

7. The method of claim 6, further including the step of displaying
5 the maximum number of items permitted in the data list.

8. The method of claim 3, further including the step of displaying the running today of the number of items in the data list, and the maximum number of items permitted in the data list.
10

9. The method of claim 1, wherein the data maintaining step includes the step of adding new items to the plurality of items being tracked by way of entering an identifier for each new item.

10. The method of claim 9, wherein the new item adding step includes the step of supplying a category tag for each new item.
15

11. The method of claim 10, wherein the new item adding step includes the step of requiring the user to delete at least a selected one
20 of the plurality of items being tracked whenever the number of items being tracked will exceed a predetermined limit number because of the addition of the new item.

12. The method of claim 1, wherein the displaying step includes
25 the step of including selected information about the items being displayed in the sublist which information includes information received from the communications center.

13. The method of claim 1, wherein the maintaining step
30 includes the step of displaying all of the items in the data list.

14. A system for tracking a plurality of items comprising
a device in which information related to each of the plurality of
the items being tracked is maintained in a data list, wherein the related
information for each of the plurality of items includes a classification tag;
5 and
a central communications center which is capable of exchanging
with the computing device the related information of the items being
tracked;
wherein the computing device is capable of displaying a list of all
10 of the plurality of items being tracked by identifier and the associated
classification tag; and is capable of displaying sublists of the plurality of
the items being tracked organized by classification tag along with
information about the items in the displayed sublists.

15 15. The system of claim 14 wherein the computing device is a
portable device.

16 16. The system of claim 14 wherein the computing device is a
hand held device.

20 17. The system of claim 14 wherein the items being tracked
are securities.

18. The system of claim 14 wherein the plurality of items being
25 tracked is limited to a preselected number.

19. The system of claim 14, further wherein the computing
device displays a running total of the number of items in the data list.

30 20. The system of claim 14, further wherein the computing
device displays the maximum number of items permitted in the data list.

21. The system of claim 18, further wherein the computing device displays the running total of the number of items in the data list, and the maximum number of items permitted in the data list.

5

22. A computing device which is capable of exchanging information with a central communications center, which information is related to a plurality of items being tracked by a user, the computing device comprising

10

a data list in which information is maintained for each of the plurality of items being tracked including a user-supplied classification tag;

15

a display function which is capable of displaying the plurality of items being tracked in lists organized by common classification tags.

23. The computing device of claim 22 wherein the computing device is a portable device.

20

24. The computing device of claim 22 wherein the computing device is a hand held device.

25. The computing device of claim 22 wherein the items being tracked are securities.

25

26. The computing device of claim 22 wherein the number of items being tracked is limited to a predetermined number.

27. The system of claim 22, further wherein the computing device displays a running total of the number of items in the data list.

30

28. The system of claim 22, further wherein the computing device displays the maximum number of items permitted in the data list.

29. The system of claim 26, further wherein the computing device displays the running total of the number of items in the data list, and the maximum number of items permitted in the data list.

30. A software program which is adapted for execution in a computing device of the type which is capable of exchanging information with a central communications center, the applications program comprising

a data list in which information is maintained for each of a plurality of items being tracked by a user, wherein the information for each item includes an associated one of a plurality of user-supplied classification tags;

a display function which is capable of displaying the data list and of displaying lists of ones of the plurality of items being tracked which have common classification tags, along with information about the items in the lists which has been obtained from the central communications center.

31. The software program of claim 30 wherein the computing device is a portable device.

32. The software program of claim 30 wherein the computing device is a hand held device.

33. The software program of claim 30 wherein the items being tracked are securities.

34. The software program of claim 30 wherein the number of items being tracked is limited to a predetermined number.

35. The system of claim 30, further wherein the display function
5 displays a running total of the number of items in the data list.

36. The system of claim 30, further wherein the display function displays the maximum number of items permitted in the data list.

10 37. The system of claim 34, further wherein the display function displays the running today of the number of items in the data list, and the maximum number of items permitted in the data list.

ABSTRACT

A method and apparatus for monitoring a items such as stocks and other securities, suitable for use in portable devices, such as personal organizers, wherein instead of separate watch lists, a pool of items being watched is maintained, and the total number of items which can be contained in the pool is intentionally limited to a predefined number, and further wherein each of the items in the pool includes an associated tag which defines a watch list to which it belongs, and the pool of the items being watched can be viewed simultaneously as one coherent collection, or specific watch lists can be displayed.

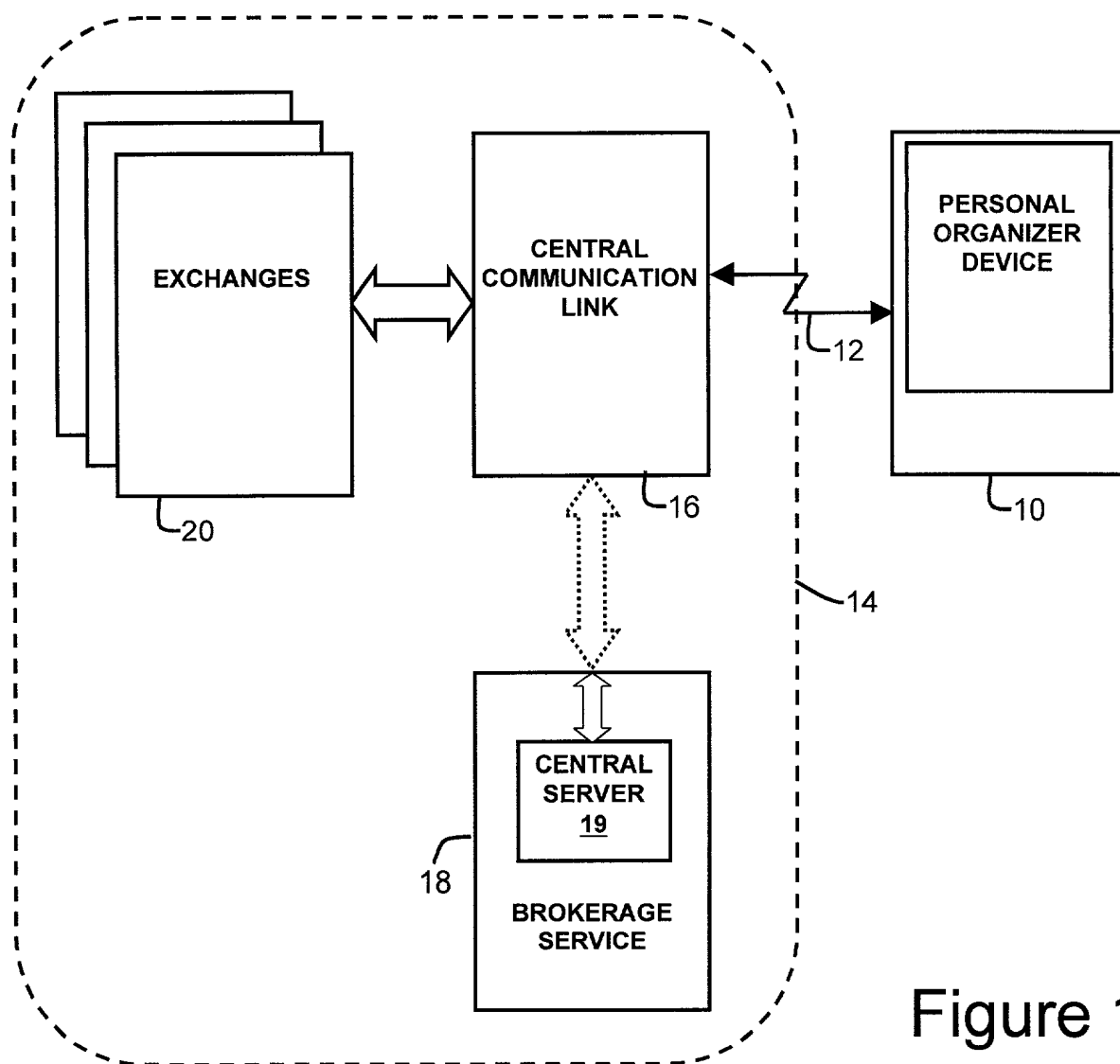


Figure 1

POOL OF ITEMS

22

| ITEM # | ITEM NAME | WATCH LIST TAG |
|--------|-----------|----------------|
| 1 | S1 | L15 |
| 2 | S2 | L1 |
| 3 | S3 | L2 |
| 4 | S4 | L3 |
| 5 | S5 | L4 |
| 6 | S6 | L1 |
| 7 | S7 | L15 |
| 8 | S7 | L1 |
| 9 | S8 | L12 |
| 10 | S9 | L5 |
| 11 | S10 | L6 |
| 12 | S11 | L7 |
| 13 | S12 | L10 |
| 14 | S13 | L6 |
| 15 | S14 | L8 |
| 16 | S15 | L11 |
| 17 | S16 | L11 |
| * | * | * |
| * | * | * |
| * | * | * |
| 63 | S33 | L2 |
| 64 | S33 | L8 |
| 65 | S34 | L9 |
| 66 | S34 | L11 |
| 67 | S35 | L7 |
| 68 | S36 | L1 |
| * | * | * |
| * | * | * |
| * | * | * |
| 94 | S55 | L15 |
| 95 | S56 | L1 |
| 96 | S57 | L4 |
| 97 | S58 | L17 |
| 98 | S58 | L28 |
| 99 | S59 | L13 |
| 100 | S60 | L6 |

WATCH LISTS

| LIST L1 |
|---------|
| S2 |
| S6 |
| S7 |
| * |
| * |
| * |
| S36 |
| * |
| * |
| * |
| S56 |

* * *

| LIST L11 |
|----------|
| S16 |
| S17 |
| * |
| * |
| * |
| S34 |

* * *

| LIST L15 |
|----------|
| S1 |
| S7 |
| * |
| * |
| * |
| S55 |

* * *

| LIST L28 |
|----------|
| S58 |

Figure 2

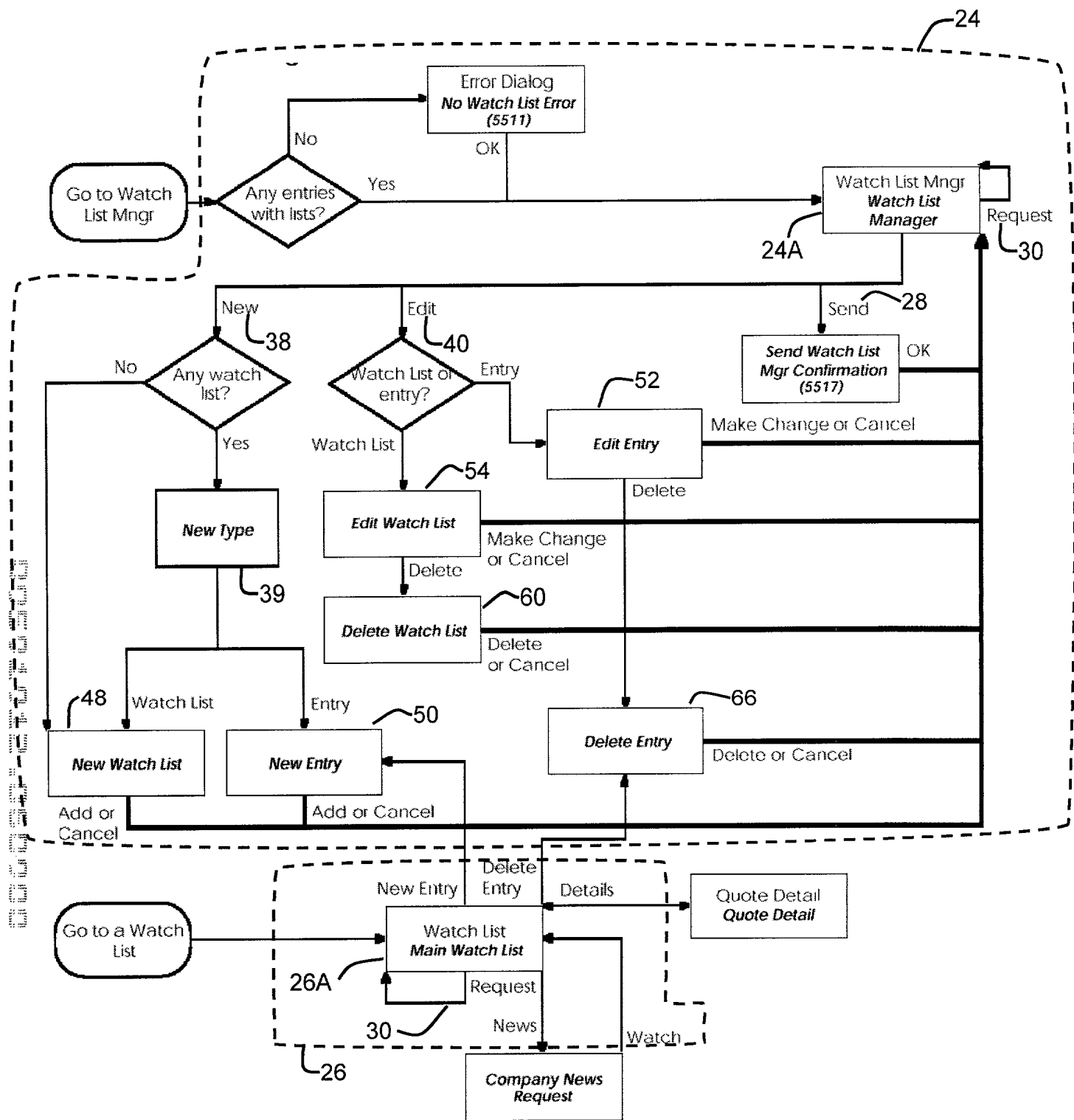


Figure 3

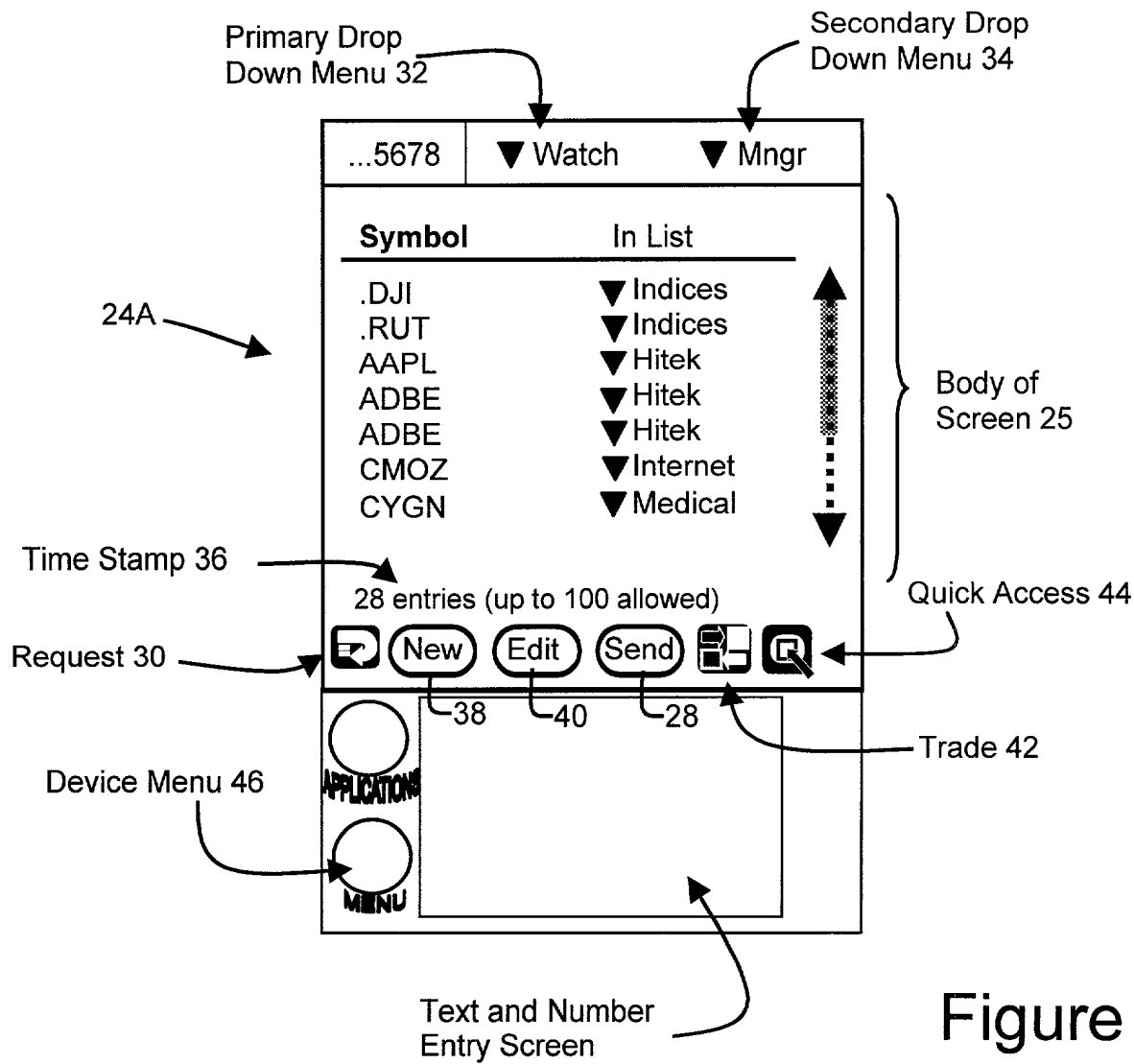


Figure 4

PRIMARY DROP DOWN 32

ACCOUNT
 WATCH LIST → → → → →
 TRADE
 QUOTE
 NEWS
 ALERTS
 CUSTOMIZE
 * * *

SECONDARY DROP DOWN 34

(FOR WATCH LIST)

USER WATCHLIST 1
 USER WATCHLIST 2
 USER WATCHLIST 3
 USER WATCHLIST 4
 * * *
 USER WATCHLIST 12
 * * *
 USER WATCHLIST N
 MANAGER

Figure 5

FIG. 6 is a screenshot of a mobile device screen displaying a watch list management interface. The interface includes a main window with a list of symbols and their corresponding watch list entries. A 'New Watch List Information' dialog box is shown, asking if the user wants a new watch list or a new entry. An 'Edit Watch List' dialog box is also shown, allowing the user to delete or rename the watch list. A 'QuickAccess' menu is visible on the right, and a 'MENU' button is at the bottom. The interface is labeled with various numbers (30, 32, 34, 36, 38, 39, 40, 41, 42, 44, 46) indicating specific UI elements.

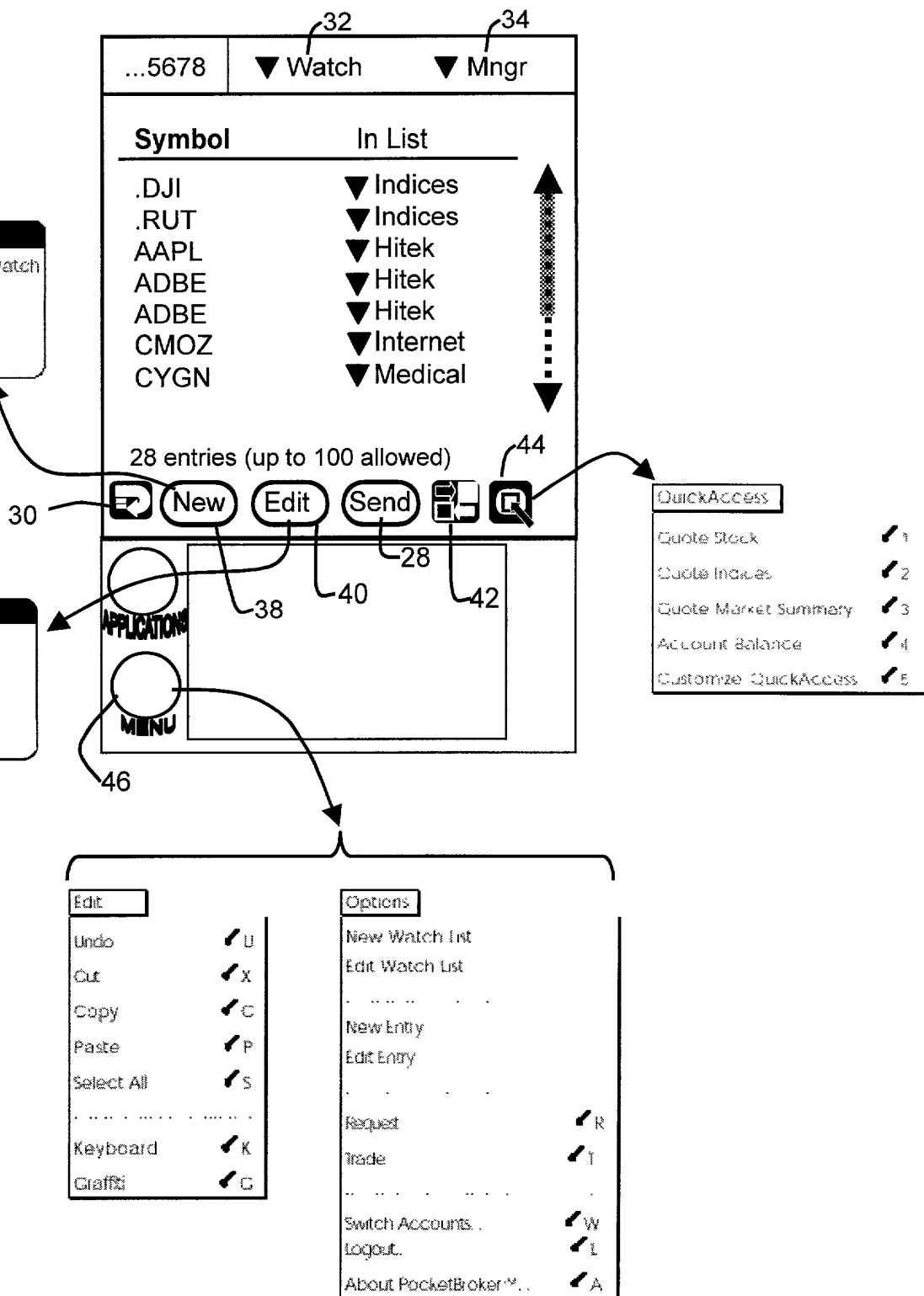


Figure 6

Figure 7

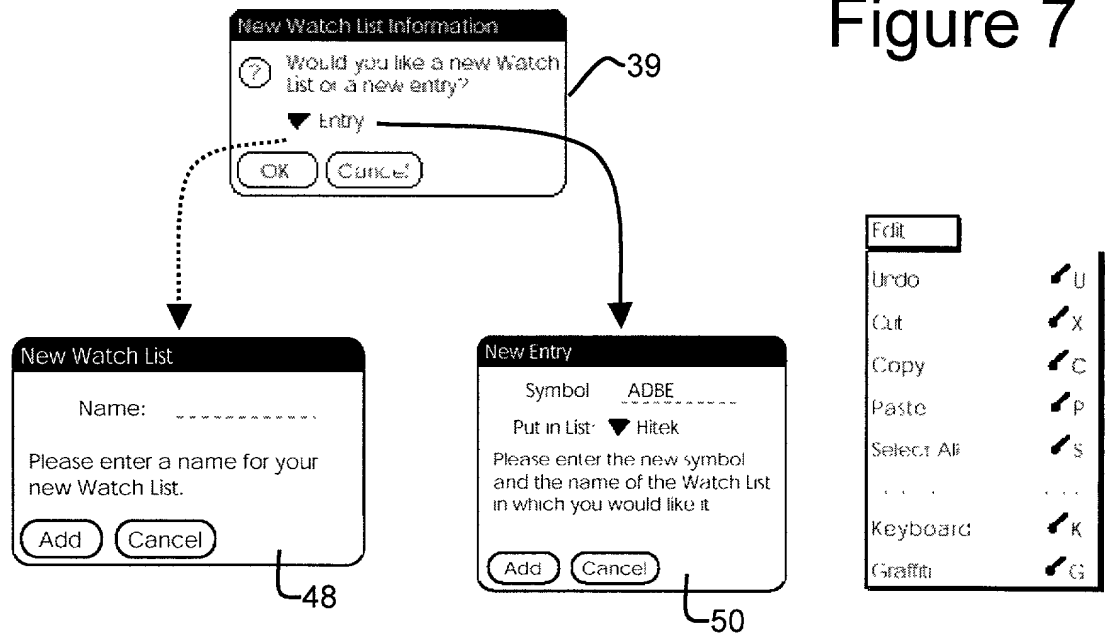


Figure 8

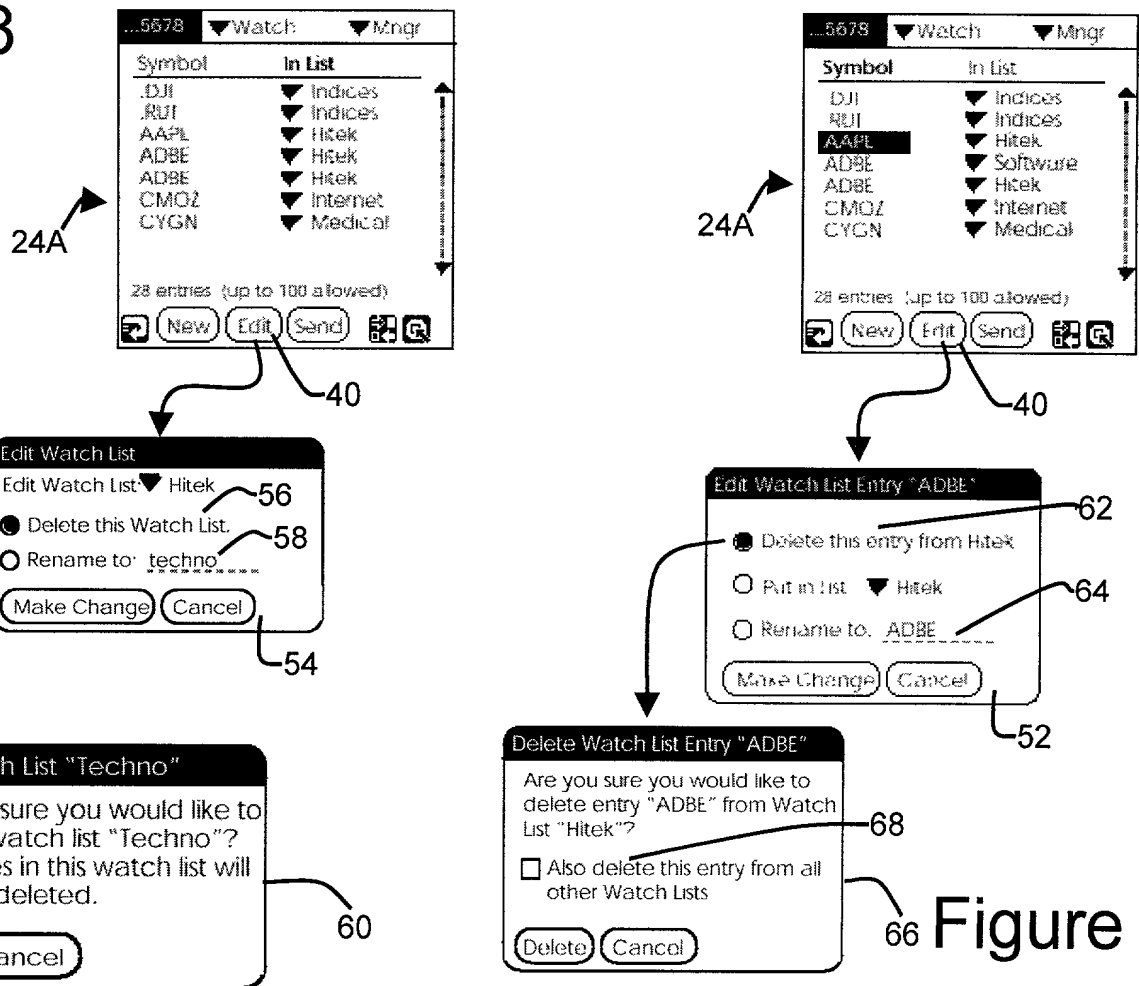


Figure 9

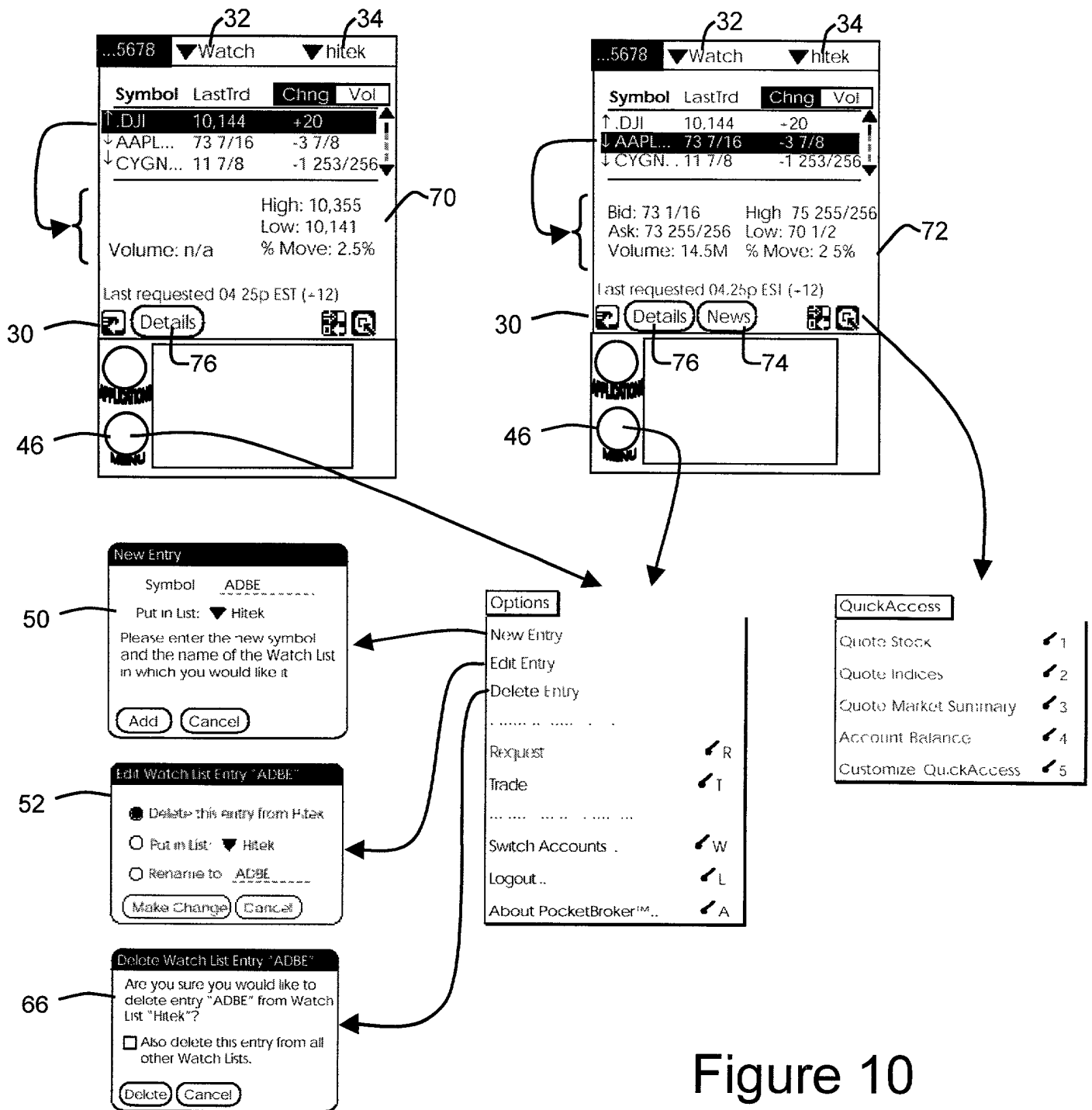


Figure 10

Atty Docket No. SCHW-410**DECLARATION FOR PATENT APPLICATION**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

METHOD AND SYSTEM FOR BUILDING AND MAINTENANCE WATCH LISTS

the specification of which (check one) x is attached hereto or ___ was filed on ___ as Application No. ___ and was amended on ___ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose all information which is material to patentability as defined in 37 CFR § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

| Prior Foreign Application(s) | | | Priority Claimed | |
|------------------------------|---------|----------------------|------------------|----|
| | | | Yes | No |
| Number | Country | Day/Month/Year Filed | | |
| Number | Country | Day/Month/Year Filed | | |

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) below.

| | |
|--------------------|-------------|
| 60/190,739 | 3/20/00 |
| Application Number | Filing Date |
| Application Number | Filing Date |

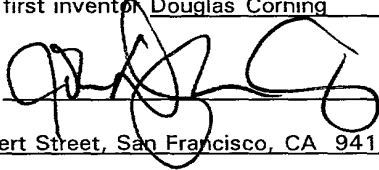
I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose all information which is material to patentability as defined in 37 CFR § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

| | | |
|--------------------|-------------|--------------------------------------|
| Application Number | Filing Date | Status: Patented, Pending, Abandoned |
| Application Number | Filing Date | Status: Patented, Pending, Abandoned |

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under 18 U.S.C. § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor Douglas Corning

Inventor's signature



5/24/00

Date

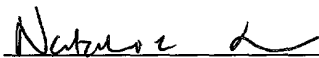
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Full name of second joint inventor, if any, Natalie Lera

Inventor's signature



05/23/2000

Date

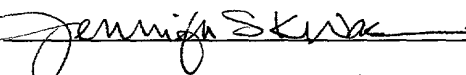
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Citizenship USA

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Full name of third joint inventor, if any, Jennifer Kwan

Inventor's signature



5.23.00

Date

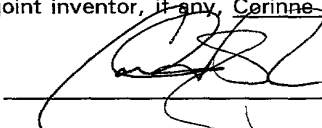
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Citizenship USA

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Full name of fourth joint inventor, if any, Cerinne Wayshak

Inventor's signature



05/23/2000

Date

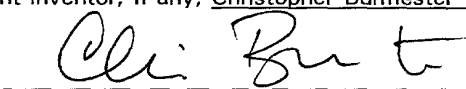
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05/23/2000

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